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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/685,924	10/10/2000	Phillip Koh-Kwe Hsu	4034-62	4729

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EXAMINER

HAYES, JOHN W

ART UNIT	PAPER NUMBER
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3621

DATE MAILED: 07/22/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No.	Applicant(s)	
	09/685,924	HSU, PHILLIP KOH-KWE	
	Examiner	Art Unit	
	John W Hayes	3621	<i>NW</i>

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 05 May 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1 and 3-15 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1 and 3-15 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 10 October 2000 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Continued Examination Under 37 CFR 1.114

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 05 May 2004 has been entered.

Status of Claims

2. Applicant has amended claims 1, 3 and 14 in the amendment filed 05 February 2004. Claim 2 was previously canceled in the amendment filed 24 September 2003. Thus, claims 1 and 3-15 remain pending and are presented for examination.

Response to Arguments

3. Applicant's arguments filed 05 February 2004 have been fully considered but they are moot based upon the new grounds of rejection outlined below.

Claim Rejections - 35 USC § 103

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 1, 3-6, 8-9 and 11-15 are rejected under 35 U.S.C. 103(a) as being unpatentable over Schneider et al, U.S. Patent No. 6,408,336 B1 in view of Baber, U.S. Patent No. 6,195,696 B1.

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As per **Claims 1 and 14**, Schneider et al disclose an intranet system comprising:

- an interface application for accessing at least one internal data source and at least on external data source that a user is entitled to access (Figure 18; Col. 2, lines 4-10; Col. 5, lines 1-25; Col. 8, lines 23-27 and 41-47), wherein the internal data source provides information on internal matters to the entity (Figure 18, Col. 12, lines 49-53; Col. 26, lines 38-45) and

- an authentication system for determining which features of a plurality of features that correspond to applications and the data source a user is entitled to access, displaying a list of the features available to the user based on entitlement, displaying data supplied by the data sources in response to a user selecting an available feature (Figure 18; Col. 8, lines 41-47; Col. 9, line 57-62; Col. 12 line 52-Col. 14 line 6; Col. 25, line 50-Col. 26 line 44).

Schneider et al further disclose user settings (Col. 10 lines 35-40) which are used to determine access privileges for the data, however, Schneider et al do not explicitly disclose setting a user specified preference profile and allowing a user to access the user preference profile to provide a user customized interface independent of the user's location. Baber discloses a system and method for assigning, generating and delivering content to intranet users and further teach controlling access to certain content by an administrator as well as a user specified preference profile to provide a user customized interface independent of the user's location (Col. 3, lines 5-19 and 40-45; Col. 9, lines 35-47; Col. 9 line 55-Col. 10 line 12). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to modify the method of Schneider et al and include the ability to set a user preference profile for the well known benefit of customizing the user's display according to their desires as taught by Baber. It has long been known that allowing users to customize their display according to their individual preferences is generally desired.

Schneider et al further fail to specifically disclose that the external data source provides real-time financial market data and a real-time market application for accessing real-time market quotes. Baber discloses wherein the system enables certain features and content to be provided to the user such as a real-time market application for accessing real-time market quotes (Figure 11; Col. 13, lines 20-31). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to modify the

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method of Schneider et al and include providing applications that provide real-time market quote data as taught by Baber. Baber provides motivation by indicating that this would be useful and beneficial since this would provide a way to provide users with content relevant to their jobs and that management of an enterprise often wants to direct intranet users to specific content (Col. 1, lines 44-54; Col. 2, lines 19-21).

Schneider further fails to disclose that the applications are related to financial services for client prospecting and consulting or applications for accessing information regarding financial products and services provided by the financial service entity. Baber discloses that the content provided to the user's includes information, applications and other resources (Col. 1, lines 24-30; Col. 3, lines 5-13; Col. 9, lines 50-55), and further discloses that the applications and their content include information relevant to a particular user's roles or responsibilities (Col. 10, lines 5-12). Thus, Schneider and Baber disclose controlling access to certain applications that are relevant to a user's roles and responsibilities, however, fail to explicitly disclose that the applications are related to financial services or financial products and services provided by the financial service entity. However, the difference between the specific types of applications that the user is being provided access to are only found in the non-functional descriptive material and are not functionally involved in the steps recited. The determining and displaying steps would be performed the same regardless of the descriptive material since none of the steps explicitly interact therewith. Limitations that are not functionally interrelated with the useful acts, structure, or properties of the claimed invention carry little or no patentable weight. Thus, this descriptive material will not distinguish the claimed invention from the prior art in terms of patentability, see *In re Gulack*, 703 F.2d 1381, 1385, 217 USPQ 401, 404 (Fed. Cir. 1983); *In re Lowry*, 32 F.3d 1579, 32 USPQ2d 1031 (Fed. Cir. 1994). Therefore, it would have been obvious to a person of ordinary skill in the art at the time of applicant's invention to determine which features of a plurality of features that correspond to any type of application (whether it be an application related to financial services or any other type of application) because such data does not functionally relate to the steps in the method claimed and because the subjective interpretation of the data does not patentably distinguish the claimed invention.

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As per **Claim 3**, Schneider et al further disclose wherein the feature includes a financial service application such as operations, divisions or employment such as HR policies, HR personnel records and public information (Col. 12 lines 48-53).

As per **Claim 4**, Schneider et al further disclose wherein the interface application includes global functions selections (Figures 10 and 18).

As per **Claim 5**, Schneider et al further disclose a well known feature of most windows applications such as a scratchpad application for moving information between displays (Figure 10, cut and past icons).

As per **Claim 6**, Schneider et al further disclose wherein the authentication system populates the interface application based on user entitlements (Figure 18; Col. 25 line-Col. 26 line 35).

As per **Claim 8**, Schneider et al further disclose a data source content management application (Figures 10-12 and associated text).

As per **Claim 9**, Schneider et al further disclose wherein the authentication system determines a user entitlement level to access the content management application (Col. 6, lines 9-35; Col. 23, lines 32-36).

As per **Claim 11**, Schneider et al fail to explicitly disclose wherein the content management application includes a content converter. Baber disclose rules for transforming content into a format best suited for a particular device (Col. 10, lines 18-23). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to modify the method of Schneider et al and include a means for converting the content as taught by Baber in order to present the content to the client in a form that is more useable.

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As per Claims 12 and 15, Schneider et al further disclose wherein the content management application includes an administrator system for managing content of the internal data source (Col. 6, lines 9-35; Col. 23, lines 32-36).

As per Claim 13, Schneider et al fail to explicitly disclose wherein the administrator system controls movement of data between the production database, the staging database and the archive database, however, examiner takes Official Notice that it was well known in the art at the time of applicant's invention to allow an administrator of network to move data from one database to another in order to structure the data as necessary to implement company policies.

6. Claims 7 and 10 are rejected under 35 U.S.C. 103(a) as being unpatentable over Schneider et al, U.S. Patent No. 6,408,336 B1 and Baber et al, U.S. Patent No. 6,195,696 B1, as applied above, and further in view of Olden, U.S. Patent No. 6,460,141 B1.

As per Claim 7, Schneider et al disclose a logon process in order to identify the user and access information, however, the combination of Schneider et al and Baber et al fail to explicitly disclose a single log-on process. Olden discloses a security and access management system for web-enabled and non-web-enabled applications and content on a network and further disclose a single sign on process using an encrypted cookie (Col. 23, lines 55-67). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to modify the method of Schneider et al and include the ability to allow the user to utilize a single sign on process to eliminate the need for the user to submit his or her password multiple times.

As per Claim 10, Schneider et al disclose wherein the authentication system allows access at an administrator level (Col. 6, lines 9-35; Col. 23, lines 32-36), however, fail to specifically disclose allowing access at a content provider level. Olden discloses wherein the system allows access at a content

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provider level such as a supplier with rights to view, purge or otherwise update factory floor data (Col. 7, lines 10-25 and 49-54). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to modify the method of Schneider et al and include the ability to allow access at a content provider level in order to permit content providers to update or delete content that is erroneous.

Conclusion

7. **Examiner's Note:** Examiner has cited particular columns and line numbers in the references as applied to the claims below for the convenience of the applicant. Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may apply as well. It is respectfully requested from the applicant, in preparing the responses, to fully consider the references in entirety as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior art or disclosed by the examiner.

8. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure

- Kitain et al disclose an information delivery system and teach restricting access to certain types of information such as corporate information
- Cook discloses an access network authorization system and teach controlling access to certain content by employees such as a bank employee who desires access to a stock quote
- Khemlani et al disclose a website for financial information and teach a means for customizing and distributing access rights to users of restricted information including stock quotes and scrolling tickers

9. The prior art previously made of record and not relied upon is considered pertinent to applicant's disclosure.

- Moshfeghi et al disclose a system for personalizing intranet web sites based upon user's needs, preferences and access privileges

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- Bowman-Amuah discloses a system for creating views of information in an intranet system for particular users and further teaches customizing application interfaces for specific business applications as well as restricting access to functions within an application based upon a user security level
- Guheen et al disclose a system including a web application entitlement module for restricting access to specific web applications based upon user privileges
- Regnier et al disclose a client server system having control of client-based applications and teach that restrictions can be enforced by changing the program's own interface to the user under control of that user's profile
- Livnat discloses a system and method for controlled access to clients attempting to access stored on a network

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10. Any inquiry concerning this communication or earlier communications from the examiner should be directed to John Hayes whose telephone number is (703)306-5447. The examiner can normally be reached Monday through Friday from 5:30 to 3:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Jim Trammell, can be reached on (703) 305-9768.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-1113.

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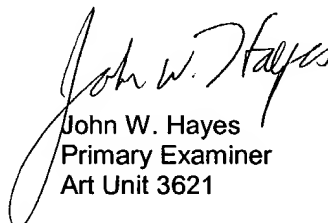
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Hand delivered responses should be brought to Crystal Park 5, 2451 Crystal Drive, Arlington,
VA, 7th floor receptionist.


John W. Hayes
Primary Examiner
Art Unit 3621

July 19, 2004